



PATENT
Docket No. 220002057125
Client Reference No. 94-161-9

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

H. Kirk HAMMOND et al.

Serial No.: 09/847,936

Filing Date: May 3, 2001

For: TECHNIQUES AND COMPOSITIONS
FOR TREATING CARDIOVASCULAR
DISEASE BY *IN VIVO* GENE
DELIVERY

Examiner: To Be Assigned

Group Art Unit: 1646

RECEIVED
MAR 07 2002
OFFICE OF PETITIONS
DEPUTY A/C PATENTS

PROSECUTION BY ASSIGNEE AND POWER OF ATTORNEY
UNDER 37 C.F.R. § 3.71

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

The Regents of the University of California, the assignee of the entire right, title and interest in this patent application, under 37 C.F.R. § 3.71, hereby appoints:

Lisa A. Amii (Reg No. 48,199)
Mehran Arjomand (Reg No. 48,231)
Sanjay S. Bagade (Reg No. 42,280)
Shantanu Basu (Reg No. 43,318)
Vincent J. Belusko (Reg No. 30,820)
Kimberly A. Bolin (Reg No. 44,546)
Tyler S. Brown (Reg No. 36,465)
A. Randall Camacho (Reg No. 46,595)
Robert K. Carpa (Reg No. 39,933)
Alex Chartove (Reg No. 31,942)
Thomas E. Ciotti (Reg No. 21,013)
Matthew M. D'Amore (Reg No. 42,457)
Peter Davis (Reg No. 36,119)
Karen B. Dow (Reg No. 29,684)
Carolyn A. Favorito (Reg No. 39,183)
Hector Gallegos (Reg No. 40,614)

Randolph Tod Apple (Reg No. 36,429)
Laurie A. Axford (Reg No. 35,053)
Erwin J. Basinski (Reg No. 34,773)
Richard R. Batt (Reg No. 43,485)
Jonathan Bockman (Reg No. 45,640)
Barry E. Bretschneider (Reg No. 28,055)
Nicholas Buffinger (Reg No. 39,124)
Mark R. Carter (Reg No. 39,131)
Peng Chen (Reg No. 43,543)
Thomas Chuang (Reg No. 44,616)
Cara M. Coburn (Reg No. 46,631)
Raj S. Davé (Reg No. 42,465)
David Devenne (Reg No. P-50,128)
Stephen C. Durant (Reg No. 31,506)
David L. Fehrman (Reg No. 28,600)
Thomas George (Reg No. 45,740)

pa-666800

BEST AVAILABLE COPY

Deborah S. Gladstein (Reg No. 43,636)
Kenneth R. Glick (Reg No. 28,612)
Johnny U. Han (Reg No. 45,565)
Alan S. Hodes (Reg No. 38,185)
Kelvan P. Howard (Reg No. P48,999)
Wayne Jaeschke, Jr. (Reg No. 38,503)
Parisa Jorjani (Reg No. 46,813)
Richard C. Kim (Reg No. 40,046)
Lawrence B. Kong (Reg No. P49,043)
Glenn Kubota (Reg No. 44,197)
Michael J. Manriel (Reg No. 44,226)
Philip A. Morin (Reg No. P-45,926)
Mabel Ng (Reg No. P48,922)
Catherine M. Polizzi (Reg No. 40,130)
Robert E. Scheid (Reg. No. 42,126)
Terri Shieh-Newton (Reg No. 47,081)
Stanley H. Thompson (Reg No. 45,160)
Brenda J. Wallach (Reg No. 45,193)
E. Thomas Wheelock (Reg No. 28,825)
Eric Witt (Reg No. 44,408)
David T. Yang (Reg No. 44,415)
George C. Yu (Reg No. 44,418)

Debra J. Glaister (Reg No. 33,888)
Bruce D. Grant (Reg No. 47,608)
Douglas G. Hodder (Reg No. 41,840)
Charles D. Holland (Reg No. 35,196)
Jill A. Jacobson (Reg No. 40,030)
Madelene L. Johnston (Reg No. 36,174)
Ararat Kapanyan (Reg No. 40,044)
Cameron A. King (Reg No. 41,897)
Kawai Lau (Reg No. 44,461)
Rimas T. Lukas (Reg No. 46,451)
Gladys H. Mommy (Reg No. 32,430)
Kate H. Murashige (Reg No. 29,959)
Martin M. Noonan (Reg No. 44,264)
Phillip Reilly (Reg No. 41,415)
Debra A. Shetka (Reg No. 33,309)
Kevin R. Spivak (Reg No. 43,148)
Thomas L. Treffert (Reg No. P48,279)
Michael R. Ward (Reg No. 38,651)
Todd W. Wight (Reg No. 45,218)
Frank Wu (Reg No. 41,386)
Peter J. Yim (Reg No. 44,417)
Karen R. Zachow (Reg No. 46,332)

all of Morrison & Foerster LLP, 755 Page Mill Road, Palo Alto, California 94304-1018,
telephone (650) 813-5600, to prosecute this application and transact all matters in the United
States Patent and Trademark Office connected therewith, said appointment to be to the exclusion
of the inventors and their attorneys in accordance with the provisions of 37 C.F.R. § 3.71
provided that if any one of said attorneys or agents ceases being affiliated with the law firm of
Morrison & Foerster as partner, employee or of counsel, such attorney's or agent's appointment
as attorney or agent and all powers derived therefrom shall terminate on the date such attorney or
agent ceases being so affiliated.

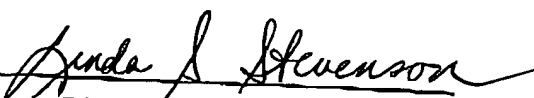
Please direct all written communications relative to this application to:

Catherine M. Polizzi
Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018

Please direct all telephone communications to Catherine M. Polizzi at (650) 813-5651.

The Regents of the University of California
a California corporation

Dated: February 21, 2002


Name: Linda S. Stevenson
Title: Manager, Patent Prosecution
Address: 1111 Franklin Street, 5th Floor
Oakland, CA 94607-5300



Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid PTO control number.
Approved for use through 10/31/2002. U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
PTO/SB/06 (02-00)

STATEMENT UNDER 37 CFR 3.73(b)

Applicant/Patent Owner: M. Kirk HAMMOND et al.
Application No./Patent No.: 09/347,936
Filed/Issue Date: May 3, 2001
Entitled: TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO GENE DELIVERY
The Regents of the University of California, a corporation
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
The extent (by percentage) of its ownership interest is _____ %
in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
2. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
3. From: _____ To: _____
The document was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.
(NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

Date

Feb 21, 2002

Linda S. Stevenson

Linda S. Stevenson
Signature

Manager, Patent Prosecution

Title

Send this Statement. This form is intended to take 5-10 hours to complete. This will vary depending upon the needs of the individual case. Any comment on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20511. DO NOT SEND THIS OR UNCOMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Policy, Washington, DC 20511.

pa-666792

Attorney Docket No.: 220002057125
Client Reference: 94-161-9

BEST AVAILABLE COPY



ASSIGNMENT

U.C. Case No.: 94-161-9

For good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNOR(S),

1. H. Kirk Hammond; 9537 La Jolla Farms Road, La Jolla, CA 92037
2. Wolfgang Dillmann, 355 S. Nardo, Solano Beach, CA 92075
3. Frank Giordano, 412 Bartlett Drive, Madison, CT 06443

hereby sells, assigns and transfers to ASSIGNEE, The Regents of the University of California, a California Corporation, having its statewide administrative offices located at 1111 Franklin Street, 12th Floor, Oakland, CA 94607-5200, and the successors, assigns and legal representatives of the ASSIGNEE all of its right, title and interest for the United States and its territorial possessions and in all foreign countries in and to, any and all improvements which are disclosed in the invention entitled:

TECHNIQUES AND COMPOSITIONS FOR TREATING CARDIOVASCULAR DISEASE BY IN VIVO GENE DELIVERY

and which is found in

- (a) U.S. provisional application filed herewith and listing the above named persons as inventors
- (b) U.S. patent application filed herewith and listing the above named persons as inventors
- (c) ☒ U.S. application serial no. 09/847,936, filed on May 3, 2001
- (d) U.S. Patent No.: _____, issued _____

and any legal equivalent thereof in a foreign country, including the right to claim priority and, in and to, all Letters Patent to be obtained for said invention by the above application or any continuation, division, continuation-in-part, extension, conversion to 35 USC 111(a) or substitute thereof, and any reissue, reexamination or extension of said Letters Patent and all rights under all International Conventions for the Protection of Industrial Property;

ASSIGNOR(S) hereby covenant(s) that no assignment, sale, agreement or encumbrance has been or will be made or entered into which would conflict with this assignment;

ASSIGNOR(S) further covenant(s) that ASSIGNEE will, upon its request, be provided promptly with all pertinent facts and documents relating to said invention and said Letters Patent and legal equivalents as may be known and accessible to ASSIGNOR and will testify as to the same in any interference, litigation, or proceeding relating thereto and will promptly execute and deliver to ASSIGNEE or its legal representative any and all papers, instruments or affidavits required to apply for, obtain, maintain, issue or enforce said application, said invention and said Letters Patent and said equivalents thereof which may be necessary or desirable to carry out the purposes thereof. An attorney of record is authorized and requested by the execution of this assignment to insert into this assignment the filing date and serial number of said application when officially known.

AND the ASSIGNOR(S) request(s) the Commissioner of Patents and Trademarks to issue said Letters Patent of the United States and any reissue or extension thereof to the ASSIGNEE, The Regents of the University of California.

executed this

_____ day of _____, 2002

19 day of Feb., 2002

_____ day of _____, 2002

Signature of Inventor(s)

H. Kirk Hammond

W. Dillmann
Wolfgang Dillmann

Frank Giordano

BEST AVAILABLE COPY